



Overview of the ARPA-E Award Contracting Process for Selectees

ARPA-E Director: Dr. Arun Majumdar July 14, 2010

Briefing Outline





Welcome – Dr. Arun Majumdar

Overview and Introductions - Shane Kosinski

Technical Milestones – Dr. Eric Toone

Award Documentation/Budget – John Harris

Reporting Requirements/NEPA/Deadlines - Matt Dunne

Intellectual Property – John Lucas

Summary and Q&A – Shane Kosinski





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Today's welcome will familiarize you with the ARPA-E team and some award basics





- You will be working with a team to develop your cooperative agreement. Each team consists of the following ARPA-E and DOE personnel:
 - Program Director (lead)
 - Technical SETAs
 - Programmatic SETAs
 - Legal Counsel
 - ARPA-E Chief Counsel
 - DOE Intellectual Property (IP) Counsel
 - ARPA-E Contracting Officer
 - Contracting Specialist
- Discover how your projects will be funded, how progress is tracked, and what the reporting requirements are for ARPA-E
- We will provide an outline of your IP options and ARPA-E policy regarding your IP





ARPA-E Leadership, Program Directors and Key Support





Director: Dr. Arun Majumdar

Deputy Director for Operations: Shane Kosinski

ADEPT

Name	Title
Rajeev Ram	Program Director
John Harris	ARPA-E Contracting Officer
Krystal Paige	Contract Specialist
Matthew Dunne	ARPA-E Acting Chief Counsel
Bob Marchick	IP Attorney
Geoff Short	Tech SETA
Pawel Gradzki	Tech SETA
Paul Basola	Programmatic SETA
Norm Kaufmann	Programmatic SETA
Curtis Austin	Programmatic SETA

BEETIT

Name	Title
Ravi Prasher	Program Director
John Harris	ARPA-E Contracting Officer
Shanelle Jackson	Contract Specialist
Matthew Dunne	ARPA-E Acting Chief Counsel
Linda Field	IP Attorney
Ashok Gidwani	Tech SETA
David O'Toole	Tech SETA
Heather Schmidt	Programmatic SETA
Andrew Kim	Programmatic SETA





ARPA-E Leadership, Program Directors and Key Support (cont.)





GRIDS

Name	Title
Mark Johnson	Program Director
John Harris	ARPA-E Contracting Officer
Melissa Pine	Contract Specialist
Matthew Dunne	ARPA-E Acting Chief Counsel
John Lucas	IP Attorney
Rusty Heffner	Tech SETA
Dawson Cagle	Tech SETA
Whitney White	Programmatic SETA
Angela Murphy	Programmatic SETA
Cybil Redmond	Programmatic SETA





This is ARPA-E's third round of project selections





Funding Opportunity Announcement (FOA) 1

~ 3,700 concept papers received. 37 projects selected and currently underway.

FOA Round 2		
Batteries for Electrical Energy Storage in Transportation (BEEST)—10 projects selected	David Danielson	
Electrofuels—13 projects selected	Eric Toone	
Innovative Materials and Processes for Advanced Carbon Capture Technology (IMPACCT)—14 projects selected	Mark Hartney	
FOA Round 3		
Grid-Scale Rampable Intermittent Dispatchable Storage (GRIDS) Mark Johnson		
Building Energy Efficiency Through Innovative Thermodevices (BEETIT)	Ravi Prasher	
Agile Delivery of Electrical Power Technology (ADEPT)	Rajeev Ram	





ARPA-E Selected High Risk, High Reward Projects with Transformational Potential in its 3rd Round of Funding





FOA	No. of Concept Papers Submitted	No. of Awards	Funding Amount
ADEPT	136	14	\$34.6 M
BEETIT	146	17	\$30.1 M
GRIDS	248	12	\$27.6 M
TOTAL	530	43	\$92.3 M





Cooperative Agreements





- ARPA-E is funding through cooperative agreements (TIAs in some cases)
- With a cooperative agreement...

"Substantial involvement is expected between the executive agency and the ...recipient when carrying out the activity contemplated in the agreement" – 31 U.S.C. § 6305

- ARPA-E will be an active participant in your work:
 - Regular site visits, meetings, and conference calls
 - Annual program reviews (with all projects in a program)
 - Engagement on technical issues
 - Assisting, if needed, on commercialization efforts
 - ARPA-E has a vested interested in your success





Each agreement must be finalized by <u>August 20, 2010</u>





- As noted in your selection letter, agreement must be completed by <u>August 20</u>, <u>2010</u>. Your project may be de-selected if you don't meet this deadline.
- We are committed to meeting this date and we expect your teams will be as well
- Model Cooperative Agreement is available on our website
 - http://arpa-e.energy.gov/FundingAgreements/CooperativeAgreements.aspx
 - Please begin your internal approval process immediately
- Resources Necessary:
 - Contracting/Budget Staff You will need contracting/budget staff to review the award documentation, respond quickly to questions from ARPA-E, and finalize the budget for the project
 - Intellectual Property (IP) Counsel You may need an IP attorney to identify and resolve any issues arising out of or relating to the project
 - Principal Investigator and Technical Personnel You will need the Principal Investigator and technical personnel to negotiate an aggressive set of technical milestones and deliverables for the project





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Milestones and reporting are used by ARPA-E to assess project performance





- Quarterly, annual, and end of project <u>technical milestones</u> will be negotiated before award
 - Annual/end of project: clearly-defined quantitative technical milestones subject to independent measurement or validation
 - Aggressive milestones are required for all projects, and are especially important for Recovery Act projects
- Quarterly, annual, and end of project reports and reviews
 - Technical: teleconferences, presentations at ARPA-E, site visits
 - Programmatic: quarterly reports to assess progress in terms of cost and schedule





Technical Milestones





- ARPA-E funds projects through cooperative agreements, which require substantive involvement by the Federal Government
- ARPA-E evaluates progress of a program by comparing actual progress to Technical Milestones
- Technical Milestones are a critical component of ARPA-E awards and are negotiated prior to award
 - Milestones describe specific, objective quantitative deliverables due at specific intervals (e.g. production of xx g/L of fuel; energy density of yy W h kg⁻¹)
 - Milestones are *not* aspirational, nor do they describe simple effort (e.g. examine 10 strains; complete report)
 - Annual/End of Project may be subject to independent measurement or verification





Technical Milestones (con't)





- Review of technical milestones
 - Progress against milestones will be evaluated on a regular basis (e.g. during teleconferences, presentations at ARPA-E, and site visits)
- Importance of meeting milestones
 - Aggressive milestones are required for all projects
 - Milestones help focus effort and resources on critical path technology components
 - Especially important for Recovery Act Projects
 - Failure to meet technical milestones could be the basis for termination of funding





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Award Documentation

http://arpa-e.energy.gov/FundingAgreements.aspx













Disruptive & Innovative Approach to Technology

Funding Opportunity Events & Workshops Home Recruitment About Programs & Projects Media



Overview



Cooperative Agreements



Technology Investment Agreements (TIA)



Help

FIND US ON THE INTERNET









COOPERATIVE AGREEMENTS

Please refer to the following model award documentation.

Award Document	Description
Cover Page	Assistance Agreement Form (PDF 95 KB)
Attachment 1	Special Terms and Conditions (Word 92 KB)
Attachment 2	Intellectual Property Provisions (Small Business) (Word 46 KB)
Attachment 2	Intellectual Property Provisions (Large Business) (Word 57 KB)
Attachment 2	Intellectual Property Provisions (University) (Word 32 KB)
Attachment 3	Statement of Project Objectives (Technical Milestones and Deliverables) (Word 17 KB)
Attachment 4	Federal Financial Assistance Reporting Checklist and Instructions (Word 241 KB)
Attachment 5	Budget Information (SF-424A) (Word 28 KB)
Attachment 6	DOE Financial Assistance Regulations (10 CFR Part 600) (PDF 564 KB)
Attachment 7	DOE Agency-Specific Requirements for Universities and Nonprofits (PDF 320 KB)
Attachment 8	National Policy Assurances (PDF 86 KB)

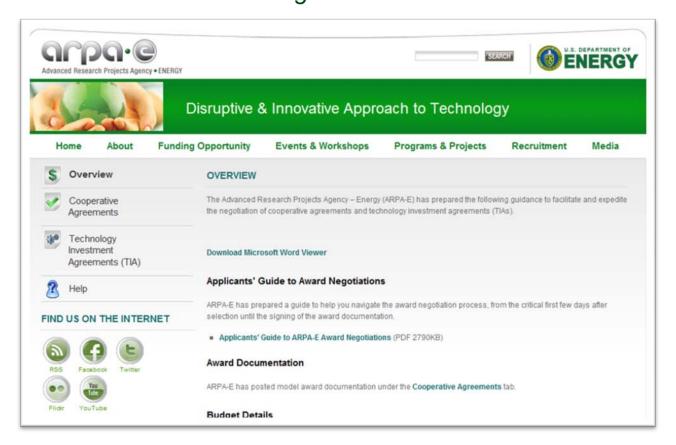
Resources for Recipient

http://arpa-e.energy.gov/fundingagreements.aspx





Additional information on award documentation is available in *Applicants' Guide to ARPA-E Award Negotiations* on ARPA-E's website







Review of Special Award Terms and Conditions (1 of 4)





Award Project Period

The effective start date of award is the date on which the award is signed by the ARPA-E Contracting Officer unless another date was specified in the full application and approved. (See Model Cooperative Agreement Attachment 1, Clause 3)

Maximum Obligations

 The maximum funding for the project is limited to the amount shown on Agreement Cover Page. (See Model Cooperative Agreement Attachment 1, Clause 4)

Acknowledgment of Award Documents

See Award Guide Section 6 and Model Cooperative Agreement Attachment
 1, Clause 7

Payment Procedures

See Model Cooperative Agreement Attachment 1, Clause 8





Review of Special Award Terms and Conditions (2 of 4)





Cost Share (See Model Cooperative Agreement Attachment 1, Clause 10)

- If an applicant is exclusively a university or other educational institution ("Educational Institution"), a cost share of at least 10% of the total allowable costs must be provided. For consortia or teams consisting exclusively of Educational Institutions, cost share of at least 10% must be provided.
- If an applicant is not an Educational Institution ("Other Applicant"), a cost share of at least 20% of the total allowable costs must be provided. For consortia or teams including one or more Other Applicants, cost share of at least 20% is required.
- However, teams or consortia consisting exclusively of Educational Institutions may include Other Applicants under the following conditions: (1) each Other Applicant may incur no more than \$100,000 in total project costs, and (2) together, the Other Applicants may incur no more than \$250,000 in total project costs. Provided these conditions are met, the minimum cost share would be 10%.





Review of Special Award Terms and Conditions (3 of 4)





Pre-Award Costs (See Model Cooperative Agreement Attachment 1, Clause 12)

- ARPA-E will deny requests for reimbursement where no award is made.
- You may submit requests for reimbursement for insignificant costs (i.e., \$20,000 or less in total aggregate costs) incurred up to 90 days before the effective date of the Award. You are required to obtain written authorization from the ARPA-E Contracting Officer (ARPA-E-CO@hq.doe.gov) before submitting any requests for reimbursement for.
 - insignificant costs incurred more than 90 days before the effective date of the Award, or
 - significant costs (i.e., more than \$20,000 in total aggregate costs)
 incurred before the effective start date of the Award.
- All pre-award costs must be in accordance with the applicable Federal Cost principles referenced in 10 C.F.R. Part 600.

Reporting Requirements

 See Model Cooperative Agreement Attachment 4 & Model Cooperative Agreement Attachment 1, Clause 15





Review of Special Award Terms and Conditions (4 of 4)





Monitoring Process

 See Model Cooperative Agreement Attachment 1 (clauses 14,24,25,27) & Model Cooperative Agreement Attachment 4





Financial Management Assessment and Determination of Responsibility





- The ARPA-E Contracting Officer is required to perform a financial management assessment to assess your ability to manage the financial aspects of an award and your plans to accomplish project activities with reasonable economy and efficiency. The standards for acceptable financial management systems are found at 10 CFR 600.121 for universities and non-profits and at 10 CFR 600.311 forprofit organizations.
- The ARPA-E Contracting Officer is required to make an affirmative determination of responsibility. The determination considers if the contractor has the administrative and programmatic capabilities to perform.
- See Award Guide Page 17





Budget Documents (See Award Guide Page 15)





- The ARPA-E Contracting Officer will review the budget documents submitted with your Full Application, and identify the information/documents needed to complete his analysis and approve the proposed budget.
- Any missing information is requested in the form of a Budget Review Questionnaire, which includes questions to be answered and identifies information and documents to be provided (sample Questionnaire—see Award Guide Appendix 1)
- The following budget documents are available on ARPA-E's website (http://www.arpa-e.energy.gov/FundingAgreements.aspx).

Form	Brief Description
SF-424A	The SF-424A provides an overview of the total budget by categories (e.g., personnel, fringe
	benefits, travel, equipment, supplies, contractual, construction, other, indirect charges).
Budget Justification Spreadsheet	The Budget Justification Spreadsheet provides detailed information on yearly budgeted items
	in each category.
Budget Justification Guidance	The Budget Justification Guidance provides detailed instructions for the completion of the
	Budget Justification Spreadsheet.
Indirect Rate Proposal	You are required to submit an indirect rate proposal to ARPA-E if you do not have indirect
	rates negotiated with, or approved by, a Federal government agency.





Required Forms (See Award Guide Page 12)





Required Forms

Upon selection, you will be required to complete the following forms.

Applicants are required to submit a NEPA Compliance Questionnaire with their full application. If your project is re-scoped, you may be required to submit a new NEPA Compliance Questionnaire.

- NEPA Environmental Compliance Questionnaire (PDF 758 KB)
- Civil Rights Questionnaire (Word 33 KB)
- DOE Form 1600.5 (PDF 21 KB)

http://arpa-e.energy.gov/FundingAgreements.aspx





Put Your Award Negotiations in High Gear—Part I (Budget)





- Prepare and submit supporting documentation for your proposed budget to the ARPA-E Contracting Officer. Refer to the Budget Justification Guidance for detailed instructions.
- Respond quickly (1-2 days) to Budget Review Questionnaires.
- Modify your SF-424 to include a reasonable and realistic period of performance.
- Be sure to provide signed cost share letters of commitment from any third party contributing cost share.
- Be sure to provide a separate budget justification and SF-424A for any sub-recipients that are expected to perform 10% or more of the total project costs.
- Budget Justification Spreadsheet—see additional tips for each budget category in the Award Negotiations Guide (pages 19-20)





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Reporting Requirements





- Recovery Very Important!
- ARPA-E Specific
- All reporting is electronic
- Federal Financial Assistance Reporting Checklist and Instructions are on our website as Attachment 4:

http://arpa-e.energy.gov/FundingAgreements/CooperativeAgreements.aspx





American Recovery & Reinvestment Act (ARRA) of 2009



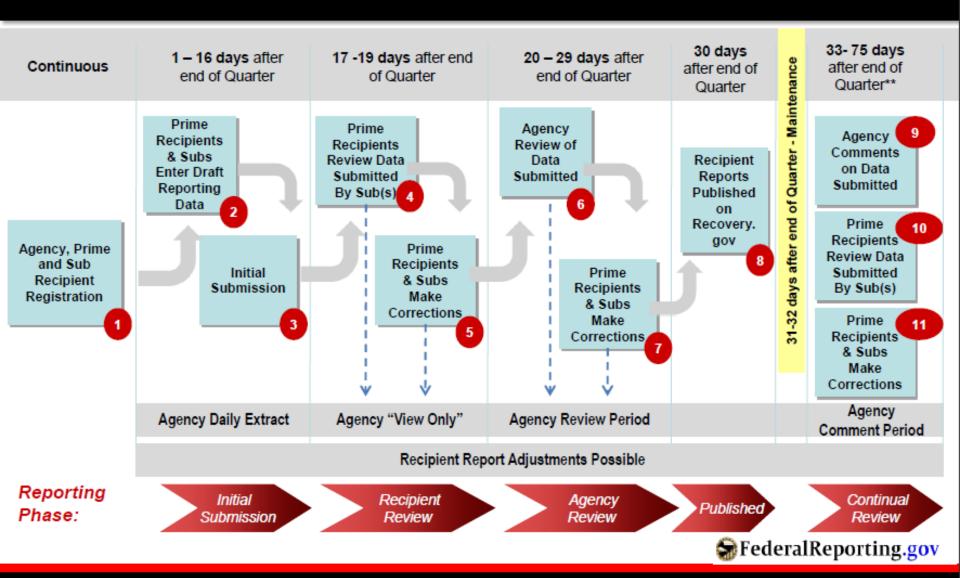


- These awards are funded by the ARRA.
- There are special clauses and requirements.
- Spending and progress will be posted regularly by ARPA-E on: http://www.energy.gov/recovery and at http://www.recovery.gov/
- Awardees must report project status and job creation narrative and number on a quarterly basis at <u>www.federalreporting.gov</u>
 - Reports must be submitted no later than the date specified by ARPA-E and the Office of Management and Budget (OMB).





Reporting Timeline and Activities



^{**}Reports will be unlocked Days 33-75

^{**}There will be no late submission during Days 33-75

National Environmental Policy Act (NEPA)





- ARPA-E is required to evaluate the potential environmental impact of any projects that it is considering for funding
- ARPA-E uses the NEPA Compliance Questionnaire to obtain information regarding the potential environmental impact of particular projects and to determine the appropriate level of environmental review. Projects may qualify for a categorical exclusion under 10 CFR 1021.410, or may require further environmental review
- You are required to answer the questionnaire for the entire project, including all work to be performed by other participants (subrecipients, contractors, etc.). You may not limit your responses to work performed by the lead recipient.
- If your project is re-scoped, you may be required to submit a new NEPA Compliance Questionnaire.
- See Section 3.2.1 of the Award Negotiation Guide for additional information





Timeline





Action	Deadline
ARPA-E Program Director begins to negotiate an aggressive set of technical milestones and deliverables with Principal Investigator	July 14—August 9
ARPA-E Contracting Officer reviews proposed budget and sends budget questionnaires to selectees, who are required to respond within 3 business days	July 14—August 9
Deadline for notifying the ARPA-E Contracting Officer of names, telephone numbers, and email addresses for principal and backup Legal, IP, Budget and Technical Representatives	July 20
Deadline for notifying ARPA-E Chief Counsel if you intend to request a Technology Investment Agreement	July 21
Deadline for notifying ARPA-E Chief Counsel if you intend to request any changes to Attachment 1 (Terms and Conditions). (Please note changes will only be approved in exceptional circumstances.)	July 26
Deadline for notifying DOE AGC-IP of limited data rights, unlimited data rights, and protected data	July 29
Deadline for notifying DOE AGC-IP of if you intend to request any changes to Attachment 2 (Intellectual Property Provisions). (Please note changes will only be approved in exceptional circumstances.)	July 29
Deadline for finalizing budget for the project	August 5
Deadline for finalizing technical milestones and deliverables	August 5
ARPA-E sends final award package to selectee	August 9
Deadline for selectee to return signed award package to ARPA-E	August 11
Selectees acknowledge receipt of award in FedConnect	August 20

Put Your Award Negotiations in High Gear—Part II (General/Technical)





- General: Identify the persons within your organization who will be participating in the award negotiations. Make sure they will have sufficient time and resources to participate in the award negotiation process.
- Technical: Work with the ARPA-E Program Director to quickly negotiate an aggressive set of technical milestones and deliverables.
 - Differentiate between tasks and milestones.
 - Milestones should be concrete, aggressive, and quantifiable.
 - Include metrics so that milestones are measurable.





Put Your Award Negotiations in High Gear—Part III (Legal/IP)





- Legal: Review the model award documentation and forms available on ARPA-E's website
 - Notify the ARPA-E Chief Counsel immediately if you intend to request any changes to Attachment 1 (Terms and Conditions) or intend to request a Technology Investment Agreement
- Intellectual Property:
 - Notify the DOE AGC-IP immediately if you intend to request any changes to Attachment 2 (Intellectual Property Provisions)
 - Identify your Limited Data Rights, Unlimited Data Rights, and Protected Data immediately
 - Research your intellectual property and how it was funded. If there was past government funding that contributed to developing certain IP, it will affect your negotiations with the DOE AGC-IP





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Overview of IP rights in ARPA-E Grants, Cooperative Agreements, and TIAs





- DOE OGC Tech Transfer and IP Attorneys will be working directly with each ARPA-E Program Manager and C.O. during negotiations and will be coordinating with the ARPA-e General Counsel.
- The goals of DOE-ARPA IP provisions are:
 - Strengthen U.S. energy and economic security
 - Maintain or establish U.S. scientific and engineering leadership in key energy fields
 - Encourage development and deployment of new inventions in the U.S.
 - Establish new industries
 - Strengthen the U.S. manufacturing base
 - Create new sources of employment
 - Retention of limited government rights for use of inventions and data by the US government.
- These goals, and the specific contract requirements are imposed by statute, regulation or DOE policy - These basic IP requirements are, of course, the quid pro quo for the substantial funding provided by the government.
- Under certain circumstances, there is some flexibility to negotiate certain IP requirements.





IP clauses to be discussed today





- Technical Data
- Patents
- U.S. Competitiveness
- Subawards and awards involving DOE Labs
- The IP provisions vary based on the type of awardee or subawardee because of statutes and applicable regulations
 - Universities & Non Profits
 - Small business
 - Everyone else: e.g. large business





Technical Data Types





- <u>Limited Rights Data</u> is proprietary data that was developed at private expense before you received this award. The Federal Government does not have any rights to this data, unless you provide it to us. To protect Limited Rights Data, you should not disclose it to ARPA-E, unless it is necessary for us to evaluate your work under the award. (See Clause 23 of Attachment 1.)
- Unlimited Rights Data is data produced under the award that is suitable for immediate public release. Data produced under government sponsorship is generally classified as public information.
- Protected Data is data produced under the award that is protected from public release for a limited period of time. You may designate data first produced under the conduct of this award as Protected Data; such data will be protected from public release for a period of 5 years from the time it is first produced.





ARPA-E IP: Data Rights Clause





- Proprietary Data: Do you anticipate that proprietary data of your own or your subs will need to be included in the technical data that you will be expected to deliver to ARPA-E?
 - If so, we need to discuss how necessary delivery of that data is. If delivery is necessary then we need to negotiate and add special paragraphs dealing with how the proprietary data is to be marked, who can see it and how it can be used.
- ARPA-E has the right to inspect at your site all data used in performance of the agreement.





Obligation to Protect Proprietary Information





- Government employees are required under criminal law to protect your proprietary information. However, should proprietary information be shared orally or by visual inspection of your operations (e.g. during site visits), you need to identify to us in writing specifically what needs to be protected.
- If any ARPA-E contractors are involved, they are also required to ARPA-E to protect your proprietary data





ARPA-E IP: Data Rights Clause





- First produced technical data that is delivered to ARPA-E may be protected from public release for 5 years from the date of development of the data.
 We call this "Protected Data."
- ARPA-E and the awardee will mutually agree on list of data that may be marked as Protected and a list of what will be released to the public.
- The assumption is that University & non-profit awardees and Labs as prime awardees will not avail themselves of this right. If you would like to utilize this right, you are required to submit a request. We consider such requests on a case-by-case basis.
- "Patent Hold" restricts any release of data for enough time to file patent application





ARPA-E IP: Patent Rights Clause





- Apply only to "subject inventions" made under the award. "Made" means invention conceived or first actually reduced to practice. No government rights in any other inventions; e.g. background inventions.
- All subject inventions must be reported to DOE. ARPA-E will provide a fact sheet on reporting subject inventions.
- Per Bayh-Dole Act, University & Non-profits and small businesses, as well as Labs operated by Non-profits or universities, have the automatic right to elect to retain title to their own subject inventions.
- Per Class Patent Waiver, Large Businesses will have an automatic right to elect to retain title to their own subject inventions provided the award or subaward provides for cost sharing of at least 20%, and shall apply to each of the participants under a teaming arrangement as long as the team is providing cost sharing of at least 20%. Labs operated by large businesses similarly have the right to elect title to their inventions under existing patent waivers.





ARPA-E IP: Patent Rights Clause





- If you elect to retain title to an invention, you must file a patent application.
- Government Rights required by statute
 - Government purpose license: Government & others acting on behalf of the Government may practice invention royalty free for a Government Purpose.
 - March-in Rights: Insurance Policy that you will commercialize the invention
 - U.S. Preference in licensing: Grant of exclusive right to use or sell invention in U.S. must be to party who agrees to substantially manufacture in the U.S.





ARPA-E IP: Patent Rights Clause in a TIA





- A Technology Investment Agreement (TIA) is a special transaction implemented at 10 CFR 603 where the special requirements to qualify for a TIA are set forth.
- In a TIA, the otherwise statutorily required provisions of the Patent Clause are negotiable.
- The Data clause and the U.S. competitiveness clause of ARPA-E awards are no different in a TIA than in a non-TIA





ARPA-E: U.S. Competitiveness with Respect to New Inventions





- University and non profits: U.S. Preference- Grant of exclusive right to use or sell invention in U.S. must be to party who agrees to substantially manufacture in the U.S.
- Small business: U.S Preference & agreement that awardee will substantially manufacture in the U.S for products to be used or sold in the U.S.
- Large Business: U.S Preference & agreement that awardee will substantially manufacture in the U.S for products to be used or sold in any country.





ARPA-E IP: Infringement Liability





- University & Non profits: per OMB guidance there is no authorization and consent clause so the Government is not liable for patent infringement arising from performance of award.
- For profits (Small & Large Business): Per 10 CFR 600.301 *et seq* There are authorization & consent and notice and assistance clauses so the government is liable for patent infringement arising from performance of award. Similarly, Lab contracts contain authorization and consent, as well as a notice and assistance clause.





ARPA-E: Subawards





- There is an appendix tailored for each type of awardee (University & Non Profit, Small Business and Large Business). Flow down the appropriate IP appendix to your subawardees who are performing R&D.
- Prime has responsibility to obtain necessary IP rights from subs, e.g. possible delivery of proprietary data.
- Prime may not normally obtain rights in IP of subawardees. Do you have an IP strategy that conflicts with this principle? If so we will work with you.

ARPA-E: Awards that include DOE labs

- Where Labs are prime awardees, the intent is to fund DOE labs directly in which case the existing contract between the lab operating contractor and DOE will apply with respect to IP.
- Where Lab is a subawardee, intent is to have a prime awardee enter into CRADA or WFO agreement with Lab, as appropriate.





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Summary: Recovery funding has high expectations





- Review the award documentation
- Don't miss your deadlines—August 20th is the final deadline for award, or project may be de-selected
- ARPA-E negotiation teams will support you throughout the process.
 - You will be expected to negotiate quickly and fairly (August 20 deadline)
 - When issues arise, evaluate quickly within your organization, ARPA-E will do the same
- Reporting is critical (and required!)
 - Recovery Act reporting requirements
 - ARPA-E reporting requirements
- Make your ARPA-E project your top priority



